

UNITED STATES DISTRICT COURT  
WESTERN DISTRICT OF WASHINGTON  
AT SEATTLE

CYNTHIA SEWARD,	)	CASE NO. C05-297-TSZ-MAT
	)	
Plaintiff,	)	
	)	
v.	)	REPORT AND RECOMMENDATION
	)	RE: SOCIAL SECURITY
JO ANNE B. BARNHART, Commissioner	)	DISABILITY APPEAL
of Social Security,	)	
	)	
Defendant.	)	
	)	

Plaintiff Cynthia Seward proceeds through counsel in her appeal of a final decision of the Commissioner of the Social Security Administration (Commissioner). The Commissioner denied plaintiff's application for Supplemental Security Income (SSI) benefits after a hearing before an Administrative Law Judge (ALJ). Having considered the ALJ's decision, the administrative record (AR), and all memoranda of record, it is recommended that this matter be AFFIRMED.

**FACTS AND PROCEDURAL HISTORY**

Plaintiff was born on XXXX, 1965.<sup>1</sup> She completed at least the ninth grade of high school and reported special education classes. Plaintiff previously worked as a waitress, landscaper, and housekeeper.

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<sup>1</sup> Plaintiff's date of birth is redacted back to the year of birth in accordance with the General Order of the Court regarding Public Access to Electronic Case Files, pursuant to the official policy on privacy adopted by the Judicial Conference of the United States.

01 Plaintiff filed an application for SSI benefits in June 2002, alleging a disability onset date  
02 of June 16, 2002. Her alleged disabling conditions included depression, post-traumatic stress  
03 disorder, and anxiety. (*See* AR 18, 86, 109.) Plaintiff's application was denied initially and on  
04 reconsideration, and she timely requested a hearing.

05 ALJ John F. Bauer held a hearing on July 8, 2003. (AR 217-59.) The ALJ heard testimony  
06 from plaintiff and vocational expert Michael Swanson. On March 10, 2004, ALJ Bauer issued a  
07 decision denying plaintiff's application for SSI benefits. (AR 18-30.)

08 Plaintiff appealed the ALJ's decision to the Appeals Council, which declined to review  
09 plaintiff's claim. (AR 5-8.) Plaintiff appealed this final decision of the Commissioner to this  
10 Court.

### 11 **JURISDICTION**

12 The Court has jurisdiction to review the ALJ's decision pursuant to 42 U.S.C. § 405(g).

### 13 **DISCUSSION**

14 The Commissioner follows a five-step sequential evaluation process for determining  
15 whether a claimant is disabled. *See* 20 C.F.R. §§ 404.1520, 416.920 (2000). At step one, it must  
16 be determined whether the claimant is gainfully employed. The ALJ found plaintiff had not  
17 engaged in substantial gainful activity since June 16, 2002. At step two, it must be determined  
18 whether a claimant suffers from a severe impairment. The ALJ found plaintiff's affective disorder,  
19 anxiety disorder, and personality disorder severe. Step three asks whether a claimant's  
20 impairments meet or equal a listed impairment. The ALJ found that plaintiff's impairments did not  
21 meet or equal the criteria for any listed impairments. If a claimant's impairments do not meet or  
22 equal a listing, the Commissioner must assess residual functional capacity (RFC) and determine  
23 at step four whether the claimant has demonstrated an inability to perform past relevant work.  
24 The ALJ found plaintiff able to perform her past relevant work as a landscape laborer. If a  
25 claimant demonstrates an inability to perform past relevant work, the burden shifts to the  
26 Commissioner to demonstrate at step five that the claimant retains the capacity to make an

01 adjustment to work that exists in significant levels in the national economy. The ALJ alternatively  
02 found plaintiff could perform work including simple and routine tasks, with no contact with the  
03 general public, including work as a laundry worker and janitorial worker.

04 This Court's review of the ALJ's decision is limited to whether the decision is in  
05 accordance with the law and the findings supported by substantial evidence in the record as a  
06 whole. *See Penny v. Sullivan*, 2 F.3d 953, 956 (9th Cir. 1993). Substantial evidence means more  
07 than a scintilla, but less than a preponderance; it means such relevant evidence as a reasonable  
08 mind might accept as adequate to support a conclusion. *Magallanes v. Bowen*, 881 F.2d 747, 750  
09 (9th Cir. 1989). If there is more than one rational interpretation, one of which supports the ALJ's  
10 decision, the Court must uphold that decision. *Thomas v. Barnhart*, 278 F.3d 947, 954 (9th Cir.  
11 2002).

12 In this case, plaintiff argues that the ALJ erred in assessing her RFC and proffering a  
13 hypothetical to the vocational expert, that the vocational expert's testimony was demonstrably  
14 incorrect and did not address her past relevant work, and that the ALJ erroneously evaluated the  
15 opinions of examining psychologist Frank Hammer. She requests remand for further  
16 administrative proceedings. The Commissioner asserts that the ALJ's decision is supported by  
17 substantial evidence and should be affirmed. For the reasons described below, the undersigned  
18 recommends that the ALJ's decision be affirmed.

#### 19 RFC and Hypothetical

20 Plaintiff asserts the deficiency of the RFC assessment and hypothetical to the vocational  
21 expert through the omission of a moderate concentration limitation – a limitation plaintiff posits  
22 was assessed by Dr. Trevelyan Houck and adopted by the ALJ. Plaintiff also argues that the  
23 hypothetical improperly failed to address her educational level. However, as discussed below,  
24 plaintiff fails to demonstrate error with respect to the RFC assessment or hypothetical.

#### 25 1. **Concentration Limitation**

26 Pursuant to 20 C.F.R. § 416.920a, an ALJ must evaluate the symptoms, signs, and

laboratory findings substantiating the presence of mental impairments – the “A” criteria – and then rate the degree of functional limitation resulting from those impairments – the “B” criteria (or “C” or “D” criteria as applicable). The four broad functional areas considered include: activities of daily living; social functioning; concentration, persistence, or pace; and episodes of decompensation. 20 C.F.R. § 416.920a(c)(3).

In this case, the ALJ recounted the “B” criteria findings of three physicians – Dr. Charles Regets, Dr. Houck, and Dr. Frank Hammer – as reflected on completed Psychiatric Review Technique Forms (PRTF). (AR 22-25.) Dr. Houck’s “B” criteria findings included a mild restriction in daily living, moderate difficulties in maintaining social functioning and in maintaining concentration, persistence, or pace, and no episodes of decompensation. (AR 23, 174.)

After reciting Dr. Houck’s “B” criteria findings on the PRTF, the ALJ stated:

Dr. Houck considered the claimant only partially credible but noted that she did have some limitations. He did not consider the limitations severe enough to prevent all work activity. He considered her limited to simple, non-public work activity. Dr. Houck noted the consultative evaluation by Dr. Carlson in which no limitations were expressed. He felt the above mentioned evaluations and therapy notes supported limiting the claimant to simple and routine tasks with no public work activity.

(AR 23.) These findings reflected comments made by Dr. Houck on a Mental Residual Functional Capacity (MRFC) Assessment form:

[Claimant] reports that she is able to do many ADLs [activities of daily living,] but on occasion her condition interferes [with] activity. [Mental status evaluation] noted linear, coherent, logical speech [and] thought processes. She does have difficulty [with] serial 7s [and] spelling world backwards indicating concentration disturbance. [Claimant] appears to be capable of simple tasks.

...

Credibility is partial, as [claimant] does have some limitations. These do not, however, appear to be severe enough to prevent all work activity. The [consultative evaluation doctor] does not opine limitations, but GAU eval[uation and claimant’s] reports of ADLs, coupled [with] current therapist’s notes, support limits to simple, non-public activity.

(AR 180.)

The ALJ determined that plaintiff’s impairments did not meet the criteria of any listed

01 impairment at step three. (AR 25.) In so doing, he rejected the assessments of Drs. Carlson and  
02 Hammer as, respectively, too conservative and too liberal, and, instead, gave “more weight” to  
03 the assessment of Dr. Houck. (AR 26.)

04 Subsequently, in determining plaintiff’s RFC at step four, the ALJ found plaintiff “limited  
05 to simple and routine tasks” with “no work with the general public.” (AR 27-28.) The ALJ’s  
06 hypothetical to the vocational expert likewise limited plaintiff to “limited contact with the public  
07 and . . . simple, routine tasks.” (AR 248.)

08 RFC is the most a claimant can do considering his or her limitations or restrictions. *See*  
09 Social Security Ruling (SSR) 96-8p. A hypothetical posed to a vocational expert must include all  
10 of the claimant’s functional limitations supported by the record. *Thomas*, 278 F.3d at 956 (citing  
11 *Flores v. Shalala*, 49 F.3d 562, 520-71 (9th Cir. 1995)). A vocational expert’s testimony based  
12 on an incomplete hypothetical lacks evidentiary value to support a finding that a claimant can  
13 perform jobs in the national economy. *Matthews v. Shalala*, 10 F.3d 678, 681 (9th Cir. 1993)  
14 (citing *DeLorme v. Sullivan*, 924 F.2d 841, 850 (9th Cir. 1991)).

15 Plaintiff argues that, because the ALJ adopted Dr. Houck’s finding of a moderate limitation  
16 in maintaining concentration, persistence, or pace, substantial evidence does not support either his  
17 RFC assessment or the hypothetical to the vocational expert – neither of which contained a  
18 concentration limitation or a reasonable proxy for that limitation. In support of this argument,  
19 plaintiff points to various cases. *See Thomas*, 278 F.3d at 956; *Ramirez v. Barnhart*, 372 F.3d  
20 546, 552-55 (3d Cir. 2004); *Kasarsky v. Barnhart*, 335 F.3d 539, 544 (7th Cir. 2003); *Newton v.*  
21 *Chater*, 92 F.3d 688, 695 (8th Cir. 1996). Plaintiff further argues that, pursuant to *Andrews v.*  
22 *Shalala*, 53 F.3d 1035, 1043 (9th Cir. 1995), the failure to include a concentration limitation  
23 reflected an impermissible failure to reflect the totality of the opinions of Dr. Houck.

24 In response, the Commissioner distinguishes the assessment of mental impairments at step  
25 three from the functional limitation assessment used at steps four and five, citing SSR 96-8p:

26 The psychiatric review technique described in 20 CFR 404.1520a and 416.920a and

01 summarized on the Psychiatric Review Technique Form (PRTF) requires adjudicators  
02 to assess an individual's limitations and restrictions from a mental impairment(s) in  
03 categories identified in the "paragraph B" and "paragraph C" criteria of the adult  
04 mental disorders listings. The adjudicator must remember that the limitations  
05 identified in the "paragraph B" and "paragraph C" criteria are not an RFC assessment  
06 but are used to rate the severity of mental impairment(s) at steps 2 and 3 of the  
sequential evaluation process. The mental RFC assessment used at steps 4 and 5 of  
the sequential evaluation process requires a more detailed assessment by itemizing  
various functions contained in the broad categories found in paragraphs B and C of  
the adult mental disorders listings in 12.00 of the Listing of Impairments, and  
summarized on the PRTF.

07 The Commissioner points to Dr. Houck's more detailed explanation of his opinion provided on  
08 his MRFC, as quoted above. (AR 180.) The Commissioner posits that the ALJ appropriately  
09 relied on Dr. Houck's actual, more detailed functional capacity assessment, rather than the check-  
10 the-box responses on the PRTF. *See, e.g., Crane v. Shalala*, 76 F.3d 252, 253 (9th Cir. 1996)  
11 (holding that ALJ permissibly rejected three psychological evaluations "because they were check-  
12 off reports that did not contain any explanation of the bases of their conclusions.")

13 In *Thomas*, the Ninth Circuit Court of Appeals found an ALJ's hypothetical to a vocational  
14 expert adequately incorporated a functional limitation on concentration, persistence, or pace – a  
15 limitation identified on a PRTF and adopted by the ALJ in his findings, where a physician testified  
16 as to those limitations and the vocational expert was instructed to credit that testimony. 278 F.3d  
17 at 953-54, 956. In *Andrews*, the Ninth Circuit considered a case in which the ALJ adopted an  
18 MRFC assessment of a nonexamining expert which included moderate limitations in  
19 "concentration and persistence" and "adaptation" categories. 53 F.3d at 1042-44. Considering  
20 a hypothetical addressing only social limitations, the Court concluded: "Since the hypothetical  
21 must consider all of the claimant's limitations . . . , the ALJ's hypothetical was insufficient to carry  
22 the secretary's burden of proving ability to engage in work in the national economy." *Id.* at 1044.  
23 However, plaintiff does not identify, and the undersigned does not find, any Ninth Circuit decisions  
24 directly addressing the extent to which PRTF findings must or should be included in RFC  
25 assessments and corresponding hypotheticals.

26 Other Circuits have, directly and indirectly, addressed this issue. In *Ramirez*, 372 F.3d at

01 555, the Third Circuit stated: “While SSR 96-8p does state that the PRTF findings are ‘not an  
02 RFC assessment’ and that step four requires a ‘more detailed assessment,’ it does not follow that  
03 the findings on the PRTF play no role in steps four and five, and SSR 96-8p contains no such  
04 prohibition.” *Id.* Consequently, where the hypothetical to the vocational expert limited the  
05 claimant to, *inter alia*, “no more than simple one- or two-step tasks[,]” the Court found it was  
06 “not satisfied that these limitations take into account the ALJ’s own observation (both in her  
07 opinion and in the PRTF) that [the claimant] *often* suffered from deficiencies in concentration,  
08 persistence, or pace.”) *Id.* at 554. Similarly, in *Kazarsky*, 335 F.3d at 544, the Seventh Circuit  
09 found a hypothetical insufficient where it did not include a PRTF finding of frequent concentration,  
10 persistence, or pace deficits.

11 In contrast, in *Howard v. Massanari*, 255 F.3d 577, 582 (8th Cir. 2001), the Eighth Circuit  
12 found a hypothetical limiting a claimant to simple, repetitive, and routine tasks “adequately  
13 capture[d]” the determination that the claimant often had deficiencies of concentration,  
14 persistence, or pace. In that case, the physician who completed the PRTF identifying a  
15 concentration limitation had also prepared an MRFC concluding the claimant could “‘sustain  
16 sufficient concentration and attention to perform at least simple, repetitive, and routine cognitive  
17 activity without severe restriction of function.’” *Id.* *Cf. Newton*, 92 F.3d at 694-95 (hypothetical  
18 indicating claimant had capacity for simple jobs insufficient because vocational expert testified  
19 concentration and persistence deficits related to basic work habits needed to maintain  
20 employment), *overruled in part on other grounds in Barnhart v. Walton*, 535 U.S. 212 (2002).  
21 In *Smith v. Halter*, 307 F.3d 377, 379 (6th Cir. 2001), the Sixth Circuit concluded that the ALJ  
22 “went beyond” the simple findings included in the PRTF and determined that the claimant’s  
23 concentration problems were “minimal or negligible” based on the testimony of four physicians,  
24 and then “translated [the claimant’s] condition into the only concrete restrictions available to him  
25 – [as identified by an examining physician] – and duly incorporated them into his hypothetical to  
26 the vocational expert.”

01 Here, after describing Dr. Houck's "B" criteria findings, the ALJ described Dr. Houck's  
02 narrative conclusions on the MRFC, twice stating Dr. Houck limited plaintiff to simple/routine  
03 tasks and non-public work. (AR 23.) Explaining his conclusion at step three, the ALJ stated: "Dr.  
04 Houck, in his review of the evidence, determined the claimant's impairments were severe and  
05 restricted her to simple and routine tasks with no work with the general public." (AR 25.) The  
06 ALJ's RFC assessment and hypothetical matched this interpretation of Dr. Houck's opinion  
07 precisely. (AR 27, 248.) Therefore, the ALJ appears to have determined that Dr. Houck modified  
08 his PRTF findings in his MRFC, and thereafter adopted the modified findings in assessing  
09 plaintiff's RFC.

10 Although less clear than the factual situations involved in *Howard* and *Smith*, the ALJ's  
11 interpretation of the evidence, and particularly Dr. Houck's opinion, was reasonable. The sole  
12 reference to the category of concentration, persistence, or pace on the narrative portion of Dr.  
13 Houck's MRFC reflects that plaintiff's difficulty with serial sevens and spelling "world" backwards  
14 "indicat[es] a concentration disturbance." (AR 180.) Dr. Houck thereafter twice limited plaintiff  
15 to simple, non-public activity. *Id.* Accordingly, the RFC assessment and hypothetical included  
16 all of the functional limitations supported by the record.

## 17 2. Education Level

18 At step five, an ALJ must account for a claimant's RFC and vocational profile – including  
19 age, education, and work experience. 20 C.F.R. §§ 416.920(g), 416.960(c). As noted above,  
20 plaintiff argues that the hypothetical improperly failed to address her educational level. However,  
21 the ALJ's decision reflects consideration of the required vocational factors, including her  
22 educational level (AR 19, 28), and the testimony at the hearing reflects a recitation of plaintiff's  
23 educational background shortly before the testimony of the vocational expert (AR 242-48).  
24 Accordingly, plaintiff fails to demonstrate reversible error on this point.

### 25 Vocational Expert's Testimony

26 The Dictionary of Occupational Titles (DOT) raises a rebuttable presumption as to job



01 classification. *Johnson v. Shalala*, 60 F.3d 1428, 1435-36 (9th Cir. 1995) (citing *Terry v.*  
02 *Sullivan*, 903 F.2d 1273, 1277 (9th Cir. 1990)). Pursuant to SSR 00-4p, an adjudicator must  
03 inquire as to whether a vocational expert's testimony is consistent with the DOT and, if there is  
04 a conflict, determine whether the vocational expert's explanation for such a conflict is reasonable.  
05 As stated by the Ninth Circuit: "[A]n ALJ may rely on expert testimony which contradicts the  
06 DOT, but only insofar as the record contains persuasive evidence to support the deviation."  
07 *Johnson*, 60 F.3d at 1435-36 (vocational expert testified specifically about the characteristics of  
08 local jobs and found their characteristics to be sedentary, despite DOT classification as light  
09 work). *See also Pinto v. Massanari*, 249 F.3d 840, 847 (9th Cir. 2001) ("We merely hold that  
10 in order for an ALJ to rely on a job description in the [DOT] that fails to comport with a claimant's  
11 noted limitations, the ALJ must definitively explain this deviation.") "Evidence sufficient to permit  
12 such a deviation may be either specific findings of fact regarding the claimant's residual  
13 functionality, or inferences drawn from the context of the expert's testimony." *Light v. Social Sec.*  
14 *Admin.*, 119 F.3d 789, 794 (9th Cir. 1997) (internal citations to *Johnson*, 60 F.2d 1435 n.7, 1435-  
15 36, and *Terry*, 903 F.2d at 1279, omitted).

16 In this case, in response to the ALJ's hypothetical, the vocational expert testified that  
17 plaintiff could perform laundry or janitorial work, which he identified as medium, unskilled jobs.  
18 (AR 248-49.) The vocational expert also testified that plaintiff's past work as a landscape laborer  
19 was heavy, unskilled work. (AR 253.) He responded in the affirmative when asked by plaintiff's  
20 attorney whether his testimony was consistent with the DOT. (AR 258.)

21 Plaintiff argues that the vocational expert's testimony was not consistent with the DOT.  
22 Specifically, she asserts that her RFC restriction to "simple" and "routine" tasks is incompatible  
23 with the "Reasoning Development" levels for the positions identified by the vocational expert, as  
24 well as for her past relevant work as a landscape laborer.

25 As indicated by plaintiff, each DOT listing includes a level of reasoning development. *See*  
26 DOT, App. C. Reasoning development is one aspect of the "General Educational Development

(GED) Scale” used in assessing DOT job listings. *Id.* (the GED also addresses levels of mathematical and language development). Levels one and two reasoning development are pertinent to the current discussion. Level one reasoning development is defined as the ability to: “Apply commonsense understanding to carry out simple one- or two- step instructions. Deal with standardized situations with occasional or no variables in or from these situations encountered on the job.” *Id.* Level two reasoning development is defined as the ability to: “Apply commonsense understanding to carry out detailed but uninvolved written or oral instructions. Deal with problems involving a few concrete variables in or from standardized situations.” *Id.*

Plaintiff asserts that the limitation to simple tasks excludes level two reasoning development jobs – including all three of the positions at issue here. *See* DOT Nos. 361.685-018 (laundry worker), 381.687-018 (janitorial worker), 408.687-014 (landscape laborer). She maintains that the record does not include either a reasonable explanation for this conflict or persuasive evidence supporting a departure from the DOT. Plaintiff further notes that the vocational expert did not testify in response to her past work as a landscape laborer, other than to say that it is “unskilled” (AR 248-49, 253), and asserts that, given that this is also classified as level two work, substantial evidence does not support the ALJ’s finding that this position did not require more than simple and routine tasks (AR 20, 27).

The Commissioner asserts that level two reasoning development work does not necessarily contemplate work requiring more than simple, routine instructions and tasks. She proffers the job descriptions for all three positions and asserts that nothing about those descriptions references detailed or complex instructions or tasks. <sup>2</sup> With respect to plaintiff’s past relevant work as a

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<sup>2</sup> The Commissioner also points to a Seventh Circuit decision in arguing that only conflicts with the DOT identified in the hearing require an explanation or remand for further proceedings. *See Donahue v. Barnhart*, 279 F.3d 441, 446-47 (7th Cir. 2002) (SSR 00-4p “requires an explanation only if the discrepancy was ‘identified’ – that is, if the claimant (or the ALJ on his behalf) noticed the conflict and asked for substantiation. Raising a discrepancy only after the hearing, as Donahue’s lawyer did, is too late. An ALJ is not obliged to reopen the record. On the record as it stands – that is with no questions asked that reveal any shortcomings in the vocational expert’s data or reasoning – the ALJ was entitled to reach the conclusion she did.”) However, as

01 landscape laborer, the Commissioner maintains that the ALJ's finding was supported by substantial  
02 evidence.

03 An RFC limitation to simple, routine tasks does not necessarily preclude plaintiff from  
04 carrying out detailed *but uninvolved* instructions, particularly with respect to the positions at issue  
05 here. Accordingly, the undersigned concludes that plaintiff fails to demonstrate an actual conflict  
06 between the vocational expert's testimony and the DOT, or any other error in the ALJ's step five  
07 determination.

08 Additionally, plaintiff further fails to demonstrate error with respect to the ALJ's step four  
09 decision, which did not require the testimony of a vocational expert. *See Matthews*, 10 F.3d at  
10 681 (testimony of vocational expert at step four was useful, but not required). Plaintiff has the  
11 burden of establishing her inability to perform past relevant work at step four. *Pinto*, 249 F.3d  
12 at 844. Here, the ALJ developed an adequate record to support his step four finding – noting that  
13 plaintiff performed work as a landscape laborer for two years, finding that this work did not  
14 involve more than simple and routine tasks, and was not performed with the general public, and  
15 noting that the State Agency found plaintiff capable of performing this job. (AR 19-20, 27.) This  
16 finding, like the alternative finding at step five, was supported by substantial evidence.

17 Opinion of Dr. Frank Hammer

18 Plaintiff argues that the ALJ erroneously evaluated the opinions of examining psychologist  
19 Frank Hammer. In assessing the opinion of this physician, the ALJ stated as follows:

20 The claimant's attorney arranged for a consultative evaluation with Dr. Hammer.  
21 That examination took place in July 2003. The information provided and the mental  
22 status results are basically similar to the information provided to Dr. Carlson. I note  
23 in particular that at both examinations the claimant was cooperative and oriented. She  
24 displayed the same memory ability in that she registered 3/3 objects and recalled 2/3.  
She had limited information about current events. She was able to correctly report  
the bordering states of Washington. At the time of her evaluation with Dr. Carlson,  
she was unable to perform serial 7's but could perform serial 3's. She could perform

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26 noted by plaintiff, the Commissioner fails to show that this reasoning has been adopted in the  
Ninth Circuit. *See, e.g., Terry*, 903 F.2d at 1275, 1277-78 (involving attack on ALJ's conclusions,  
as based on written testimony of vocational expert).

01 both serial 7's and 3's by utilizing counting at the examination with Dr. Hammer. She  
02 was unable to spell "world" backwards. Her ability to abstract was limited. Despite  
03 these similar mental status findings, Dr. Carlson diagnosed dysthymia with a [Global  
04 Assessment of Functioning (GAF)] of 60 and Dr. Hammer diagnosed listing level  
05 depression, panic disorder, learning disorder and personality disorder NOS with a  
06 GAF of 55.

07 I note one significant difference between the two examinations. The claimant  
08 reported to Dr. Hammer that at times she thought of suicide and she reported some  
09 episodes of hearing voices. These assertions are denied throughout the record until  
10 this appointment. I question these assertions given the denials in the prior reports.

11 I also question the GAF ratings. There is only a 5 point difference between the two  
12 scores and yet Dr. Hammer assessed the claimant's functioning in the "extreme" and  
13 "marked" levels of limitations. This is highly unusual. Further, I question the finding  
14 of "three" repeated episodes of decompensation. There is no explanation for this  
15 finding. The claimant has never been hospitalized. She has not undergone significant  
16 treatment that would usually represent an episode of decompensation.

17 (AR 25-26.) The ALJ indicated that, while he considered Dr. Hammer's assessment, he did not  
18 assign it great weight. (AR 26.) As noted above, the ALJ found Dr. Hammer's assessment too  
19 liberal and Dr. Carlson's assessment too conservative, and gave more weight to the assessment  
20 of Dr. Houck. (*Id.*)

21 Plaintiff raises two specific issues with the ALJ's assessment. First, she asserts that the  
22 ALJ made harmful errors of fact in asserting that plaintiff denied thoughts of suicide and hearing  
23 voices until her visit with Dr. Hammer. She points to her July 2002 statement that, while she did  
24 not have current suicidal ideation, she had thoughts of suicide one month before. (AR 159-60  
25 (plaintiff reported "some thoughts of suicide but has no plan or attempts currently."; "no current  
26 ideation. previous thoughts (1 month ago) of harming self, had plan but made no attempts.")) She  
27 also notes the citation in the record to a contract not to harm herself she signed in October 2002.  
28 (AR 109.) Plaintiff additionally notes that her counselor indicated she had mild hallucinations in  
29 June 2003. (AR 183.)<sup>3</sup> Second, plaintiff argues that the ALJ emphasized too heavily the GAF

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30 <sup>3</sup> Although plaintiff adds that a nurse practitioner stated she had moderate suicidal trends  
31 and moderate hallucinations in January 2004 (AR 211), this fact is not relevant to the ALJ's  
32 critique of Dr. Hammer's July 2003 evaluation.

01 ratings in rendering his assessment of Dr. Hammer's opinion.

02 Plaintiff fails to support her contention that the ALJ's GAF-based criticism was in any  
03 respect inappropriate or inaccurate. Moreover, plaintiff does not raise, nor is there any support  
04 for, an argument as to the ALJ's criticism of Dr. Hammer's unsupported finding of three episodes  
05 of decompensation.

06 With respect to the ALJ's criticism relating to suicidal ideation and hearing voices, plaintiff  
07 accurately points to contrary evidence from July 2002 (past suicidal thoughts) and June 2003 (mild  
08 hallucinations). ( *See* AR 159-60, 183.) Nonetheless, this evidence does not significantly  
09 undermine the ALJ's assessment of Dr. Hammer's opinion. The fact that plaintiff signed a  
10 contract not to harm herself does not confirm the existence of suicidal thoughts; it could have  
11 merely been a form she was asked or required to complete. Also, while plaintiff reported previous  
12 suicidal thoughts in July 2002, the ALJ appropriately took note of her repeated denials in the past.  
13 (*See, e.g.*, AR 130, 136, 140.)<sup>4</sup> Indeed, while the June 2003 form from plaintiff's counselor  
14 indicated mild hallucinations, it also reflected no "suicidal trends." (AR 183.) Other reports  
15 likewise indicate denials of hallucinations. (*See, e.g.*, AR 130, 136, 140, 162.)

16 Plaintiff fails to demonstrate reversible error in the ALJ's treatment of Dr. Hammer. The  
17 ALJ's assessment is a reasonable interpretation of the evidence and supported by the record.

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25 <sup>4</sup> The Commissioner's attempt to differentiate Dr. Hammer's report as referencing *current*  
26 suicidal ideation and the July 2002 report as reflecting *past* suicidal ideation is unavailing. Because  
the ALJ did not make this distinction, this argument is an inappropriate post hoc rationalization.  
*See Connett v. Barnhart*, 340 F.3d 871, 874 (9th Cir. 2003).

**CONCLUSION**

For the reasons described above, this matter should be AFFIRMED. A proposed order accompanies this Report and Recommendation.

DATED this 19th day of September, 2005.



Mary Alice Theiler  
United States Magistrate Judge